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Docket No. 201/097 ¹⁴
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PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

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NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): MARCUS F. BOEHM, RICHARD A. HEYMAN and LIN ZHI

For: COMPOUNDS HAVING SELECTIVE ACTIVITY FOR RETINOID X RECEPTORS, AND
MEANS FOR MODULATION OF PROCESSES MEDIATED BY RETINOID X RECEPTORS

1. TYPE OF APPLICATION

This new application is for a(n): Original Design
 Divisional Continuation ☒ Continuation-in-part (CIP)

~~NOTE: DO NOT USE THIS FORM WHEN FILING DIVISIONAL OR CONTINUATION UNDER 37 CFR 1.68~~

2. BENEFIT OF PRIOR U.S. APPLICATION(S) (35 U.S.C. 120)

 The new application being transmitted claims the benefit of prior U.S. application(s) and enclosed
are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S.
APPLICATION(S) CLAIMED.

3. PAPERS ENCLOSED WHICH ARE REQUIRED FOR FILING DATE UNDER 37 CFR 1.53(b) (Regular) or
37 CFR 1.153 (Design) APPLICATION

 77 Pages of Specification
 14 Pages of Claims
 1 Pages of Abstract
 12 Sheets of Drawing formal ☒ informal

4. ADDITIONAL PAPERS ENCLOSED

 Power of Attorney Preliminary Amendment
 Information Disclosure Statement Citations
 Form PTO-1449 Authorization of Attorney(s) to Accept and
Follow Instructions from Representative
 Declaration of Biological Deposit Special Comments
 Other


CERTIFICATE OF MAILING (37 CFR 1.10)

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the
United States Postal Service on this date in an envelope as "Express Mail Post Office to Addressee" addressed to the: Commissioner
of Patents and Trademarks, Washington, D.C. 20231

Mailing Label No. HR 435921112 US

SHEILA OPLE
(Type or print name of person mailing paper)

Date of Mailing: April 21, 1993


(Signature of person mailing paper)

NOTE: Each paper or fee referred to as enclosed herein has the number of the "Express Mail" mailing label placed thereon prior to
mailing. 37 CFR 1.10(b).

APPLN-4.1

5. **DECLARATION OR OATH** Enclosed, executed by inventor(s). legal representative of inventor(s). 37 CFR 1.42 or 1.43. joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached. this is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. See item 13 below for fee. X Not enclosed. X Application is made by a person authorized under 37 CFR 1.41(c) on behalf of all the above-named inventor(s). [The declaration or oath, along with the surcharge by 37 CFR 1.16(e) can be filed subsequently.]6. **INVENTORSHIP STATEMENT**

The inventorship for all the claims in this application are:

 The same; or Are not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made, is submitted will be submitted.7. **LANGUAGE** X English non-English The attached translation is a verified translation. 37 CFR 1.52(d).8. **ASSIGNMENT** X An Assignment of the invention to LIGAND PHARMACEUTICALS INCORPORATED is attached X will follow9. **CERTIFIED COPY**Certified copy(ies) of application(s)
(country)

(application no.)

(filed)

from which priority is claimed is(are) attached will follow10. **FEE CALCULATION**A. Regular Application

CLAIMS AS FILED			
	Number Filed	Number Extra	Rate
Total Claims	- 20 =		x \$20.00 =
Independent Claims	- 3 =		x \$72.00 =
Multiple Dependent Claim(s), if any			x \$220.00 =
Basic Fee \$690.00			

10. FEE CALCULATION - CONTINUED

A. Regular Application Amendment cancelling extra claims enclosed. Amendment deleting multiple dependencies enclosed. Fee for extra claims is not being paid at this time.Filing Fee Calculation \$ B. Design Application [\$280.00 - 37 CFR 1.16(n)]Filing Fee Calculation \$

11. SMALL ENTITY STATEMENT(S)

 Verified Statement(s) that this is a filing by a small entity under 37 CFR 1.9 and 1.27 is(are) attached.Filing Fee Calculation (50% of A or B above) \$

12. REQUEST FOR INTERNATIONAL-TYPE SEARCH [37 CFR 1.104(d)]

 Please prepare an international-type search report for this application at the time when national examination on the merits takes place.

13. FEE PAYMENT BEING MADE AT THIS TIME

 X Not enclosed. No filing fee is to be paid at this time. [This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently] Enclosed Basic filing fee. \$ Recording assignment. [\$40.00: 37 CFR 1.21(h)] \$ Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached. [\$130.00: 37 CFR 1.47 and 1.17(h)] \$ For processing an application with a specification in a non-English language. [\$130.00: 37 CFR 1.52(d) and 1.17(k)] \$ Processing and retention fee. [\$130.00: 37 CFR 1.53(d) and 1.21(f)] \$ Fee for international-type search report. [\$35.00: 37 CFR 1.21(e)] \$ Total Fees Enclosed \$

14. METHOD OF PAYMENT OF FEES

 Check in the amount of \$. Charge Deposit Account No. 12-2475 in the amount of \$. A duplicate of this transmittal is attached.

15. AUTHORIZATION TO CHARGE ADDITIONAL FEES

 The Commissioner is hereby authorized to charge the following additional fees which may be required by this paper and during the entire pendency of this application to Deposit Account No. 12-2475: 37 CFR 1.16(a), (f) or (g) [filing fees] 37 CFR 1.16(b), (c) and (d) [presentation of extra claims] 37 CFR 1.16(e) [surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application]

15. AUTHORIZATION TO CHARGE ADDITIONAL FEES - CONTINUED

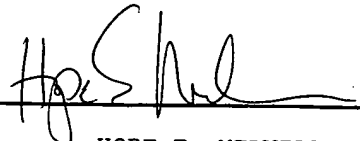
 37 CFR 1.17 (application processing fees) 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b))

16. INSTRUCTIONS AS TO OVERPAYMENT

 Credit Deposit Account No. 12-2475. Refund

Respectfully submitted,

LYON & LYON
611 West Sixth Street, 34th Floor
Los Angeles, California 90017
(213) 489-1600

By 
HOPE E. MELVILLE
(type or print name of attorney)

Registration No. 34,874

Enclosures

 X INCORPORATION BY REFERENCE OF ADDED PAGES X Plus ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE
BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED. Plus Added Pages for Papers Referred to in Item 4 above.Number of Pages Added 2 STATEMENT WHERE NO FURTHER PAGES ADDED This transmittal ends with this page.

**ADDED PAGES FOR NEW APPLICATION TRANSMITTAL
WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED**

~~NOTE: DO NOT USE THIS FORM WHEN FILING DIVISIONAL OR CONTINUATION UNDER 37 C.F.R. 1.101~~

17. RELATE BACK - 35 U.S.C. 120

Amend the Specification by inserting before the first line the sentence:

"This is a _____ divisional _____ continuation X continuation-in-part

of co-pending application(s) Serial No. 0 7 / 872,707, filed on April 22, 1992
and 07/944,783 filed September 11, 1992, and 08/003,223 filed
January 11, 1993, and 08/027,747 filed March 5, 1993

"International Application _____ filed on _____ and
which designated the U.S.:"

18. RELATE BACK - 35 U.S.C. 119 PRIORITY CLAIM FOR PRIOR APPLICATION

The prior U.S. application(s), including any prior International Application designating the U.S., identified above in Item 17, in turn itself claim(s) foreign priority(ies) as follows:

(country)	(application no.)	(filed)
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The certified copy(ies) has(have)

_____ been filed on _____ in prior application Serial No.
0 / _____, which was filed on _____
_____ is(are) attached.

19. MAINTENANCE OF CO-PENDENCY OF PRIOR APPLICATION

- A. _____ Extension of time in prior application. A petition, fee and response extends the term in the pending prior application until _____. A copy of the petition filed in prior application is attached.
- B. _____ Conditional petition for extension of time in prior application. A conditional petition for extension of time is being filed in the pending prior parent application. A copy of the conditional petition filed in prior application is attached.

20. FURTHER INVENTORSHIP STATEMENT WHERE BENEFIT OF PRIOR APPLICATION(S) CLAIMED

- A. _____ This application discloses and claims only subject matter disclosed in the prior application whose particulars are set out above and the inventor(s) in this application are _____ the same
- _____ less than those named in the prior application and it is requested that the following inventor(s) identified for the prior application be deleted:
(Type name(s) of inventor(s) to be deleted)

20. FURTHER INVENTORSHIP STATEMENT WHERE BENEFIT OF PRIOR APPLICATION(S) CLAIMED -
CONTINUED

B. This application discloses and claims additional disclosure by amendment and a new declaration or oath is being filed. With respect to the prior application, the inventor(s) in this application are

 the same

 X the following additional inventor(s) have been added
(Type name(s) of inventor(s) to be added)

LIN ZHI

C. The inventorship for all the claims in this application are

 the same

 not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made

 is submitted will be submitted

21. ABANDONMENT OF PRIOR APPLICATION (if applicable)

 Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time or to revive in that application is granted and when this application is granted a filing date so as to make this application co-pending with said prior application.

22. PETITION FOR SUSPENSION OF PROSECUTION FOR THE TIME NECESSARY TO FILE AN AMENDMENT

 There is provided herewith a PETITION FOR SUSPENSION OF PROSECUTION FOR THE TIME NECESSARY TO FILE AN AMENDMENT (NEW APPLICATION FILED CONCURRENTLY).